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ABSTRACT

This pamphlet lists and describes the 11 standards by which colleges and universities are judged when being considered for accreditation by the Southern Association of Colleges and Schools. With the exception of the Standard on purpose, each Standard is presented with a statement of principles and illustrative and interpretive material. The 11 criteria areas are: institutional purpose; organization and administration; educational program; financial resources; faculty; library; student personnel; physical plant; special activities; graduate programs; and research. (HC)

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# STANDARDS OF THE COLLEGE DELEGATE ASSEMBLY OF THE SOUTHERN ASSOCIATION OF COLLEGES AND SCHOOLS

## Principles and Philosophy of The College Delegate Assembly in Accreditation

The College Delegate Assembly of the Southern Association of Colleges and Schools is charged with the responsibility of accrediting institutions of higher learning in the southern region of the United States. This responsibility is exercised through the Commission on Colleges, which considers its principal concern in accreditation to be the improvement of educational quality in the institutions of the area it serves. It is also the responsibility of the Commission to work with institutions of higher education in Latin America toward mutual understanding and educational cooperation.

The Commission on Colleges sees its task as intimately related to the traditional public philosophy of the United States—that free men can and ought to govern themselves, and that they do so best through a representative, flexible, and responsive system. Accordingly, the Commission believes that accreditation with its controls and stimulation can be accomplished best through a voluntary association of non-profit educational institutions.

The Commission asserts the principle that regional accreditation is preferable to state or national because provincialism tends to threaten the smaller unit, and a national organization may become unwieldy. The boundaries of the accrediting association should not be identified with political framework, either state or national. There are many problems to be shared at the regional level that might not be dealt with effectively in a state or nationwide association. This does not in any way limit the existing cooperation and exchange of ideas with the other regional associations which are largely parallel in aims and functions. The several regional associations in combination form an effective national system for the control and improvement of quality in higher education.

The Commission on Colleges is dedicated to a firm belief in the rights of a teacher to teach, investigate, and publish freely, and in the rights of students to the opportunity of learning. The rights of an institution to fulfill the purposes for which it was founded are held to be incontestable. Sometimes these rights seem to be in conflict; it is then that the Commission must attempt to bring into harmony the counter-claims to freedom of the individual, the institution, and society. The Commission also stands ready to protest in the name of academic integrity when the educational effort is hampered by political interference, or is in any way menaced by those who would subvert the search for truth.

With this general philosophy which affirms that accreditation should be based on mutual, voluntary assistance at a regional level in an atmosphere of academic freedom, the Commission on Colleges has developed after long experience certain criteria and procedures. The Commission consists of representatives elected by the College Delegate Assembly and fulfills its functions through appropriate committees. Much of the labor of the Commission goes into establishing the qualitative and quantitative criteria against which an institution is evaluated to determine its effectiveness, and its acceptability in the academic world and the society of which it is a part.

As a basic principle, the Commission regards its function of accreditation as accrediting an institution as a whole. It recognizes that accreditation of professional schools, divisions, or departments

within complex universities is also provided by other recognized accrediting organizations. Although it cooperates with these agencies for professional accreditation, the Commission retains the right and responsibility of assuring that the total program of a complex institution is coordinated, administered, and held in proper balance. Cooperation with professional agencies does not limit in any way the Commission's right to accredit the total institution. It becomes the responsibility of the Commission, furthermore, to evaluate the work of specialized schools, divisions, or departments when they are not accredited by the appropriate professional agencies.

The Standards which the Commission has developed apply to initial applications, to member institutions, and to the Institutional Self-Study Program. This statement of Principles and Philosophy of the College Delegate Assembly in Accreditation is considered not only as an introduction to the Standards, but is also of equal force with the eleven Standards.

With the exception of the Standard on Purpose, each Standard is presented in two parts. The statement of principles under each Standard can be changed only by action of the College Delegate Assembly upon recommendation by the Commission on Colleges. The illustrative and interpretative material under each Standard applies to current situations and is subject to change by the Commission as evidence justifies. A change in illustrative and interpretative material will be effective after announcement to member institutions but will be taken to the College Delegate Assembly only when that body requests a review of a specific change.

Meeting each Standard is not all that is required for accreditation by and membership in the Southern Association. Assuredly, the Commission is interested in qualifications of faculty, the state of academic freedom, library size, and numerous other educational factors in an institutional operation. It is finally concerned, however, with the totality of the effort, and the atmosphere in which it is carried on. The assessment of this totality overrides smaller considerations as the decision is approached whether or not to confer or to retain membership.

No institution should remain at the minimum level, for the educational endeavor is a dynamic process. A university or college improves and grows in strength or it declines. The Commission tries to foster in each member qualitative improvement. The method used in this effort is the Institutional Self-Study Program. Once in each ten-year period, member universities and colleges are required to make a comprehensive Self-Study which is to be evaluated at the institution by a qualified committee of educators. This is the procedure for reaffirmation of accreditation, but the primary purpose of these visits is the qualitative improvement of each member institution. The Commission is particularly concerned with the follow-up procedure and insists upon being kept informed as to progress resulting from the experience of self-study. It is hoped that the Self-Study will offer a method by which member institutions may appropriate for themselves the creative vision of their best and most devoted minds, supplemented by objective outside evaluators, thereby furnishing a stimulus to the continued self-development of the academic community.

The maintenance of Standards and participation in the Institutional Self-Study Program are the normal procedures expected of member institutions. The Commission, however, reserves the right to call upon its members from time to time for specific information that may be useful to the membership. It also insists upon the right, or even obligation, to make special studies or investigations of member institutions.

The Commission encourages member institutions to conduct experimental programs. If these programs are at variance with the Standards, the institution is expected to submit the program to the Executive Council of the Commission.

It is assumed that institutions joined in the work of this Commission admit the responsibility they have to each other and to their society. The Commission believes that its philosophy of accreditation logically precludes any attitude of exclusiveness. No institution asking for membership will be refused if it demonstrates its acceptability under the Standards of the Commission. Should any petition of an applying institution be denied, and the president of the institution request a hearing on such a petition, he may appeal the decision to the Executive Council of the Commission on Colleges at one of its regular meetings. The Executive Council is hereby empowered to review the decisions of all standing committees and may, after careful review of all the findings of such committees, reverse or modify a decision, subject to approval by the Commission on Colleges at its next regular meeting.

## STANDARD ONE

### Purpose

Each institution should clearly define its purpose and should incorporate this definition into a statement which is a pronouncement of its role in the educational world. The institution's integrity is measured not only in terms of its stated purpose, but also in terms of its conscientious endeavor to fulfill this purpose.

It is recognized that the membership consists of a diversity and variety of institutions, ranging from those which have a singleness of purpose to those which are highly complex, from those which are church related to those which are privately or publicly controlled. Each institution, however, should have a well developed and available statement of purpose, not only worthy of higher education in general but also appropriate for its specific educational role. This statement should be clear and concise, and should represent the official concept and practice of the institution.

The formulation of the statement of purpose is a major decision and basic changes should be made only after proper consideration and approval by the governing board. This should not be interpreted, however, as a denial of the right of the faculty to take the initiative in recommending changes. An institution should also examine its statement of purpose periodically. This re-evaluation should include the changes which have taken place internally as well as the changing responsibilities of the institution to its constituency.

All appropriate publications should reflect accurately the institution's statement of purpose. All institutional programs, including the programs outlined in the official publications, should be designed to achieve the stated purpose. The faculty, financial resources, physical plant, and educational program should be adequate and appropriate to meet the stated purpose of the institution.

## STANDARD TWO

### Organization and Administration

The administrative organization of an institution of higher learning should bring together its various resources and coordinate them effectively to accomplish its objectives. Although a similar pattern of organization for all member institutions is neither required no expected, the organizational structure and the administrative processes should be well defined and understood by the entire college community.

The governing board, the term used in the Standards to apply to all governing bodies of institutions of higher education, is the legally constituted body representing the founders, the religious group, or the supporting governmental unit. Members of the governing board should be chosen because of their ability and willingness to serve the institution without selfish motives. The board acts as a body politic and no single member can act in place of the total board. Since the governing board holds institutions in trust, there should be a continuity in membership which will assure stability.

The responsibilities of the governing board include establishing broad institutional policies, securing financial resources to support adequately the institution's program, and selecting the chief administrative officer and, upon his recommendation, the other administrative officers of the institution. The governing board should not be subject to undue pressures from state officials or other outside political or religious groups; furthermore, the governing board should protect the administration from similar outside pressures.

There should be a clear differentiation between the policy making functions of the governing board and the responsibility of those in charge of administering these policies General institutional policies may originate within the board or be approved by the board upon the recommendation of the administration. Once these have become the policies of the governing board, the chief administrative officer should be free to implement such policies and to administer the institution within the broad policies laid down by the board.

In addition to the administrative head of the institution, there should be other administrative officials directly responsible to him. The duties of these officers should be well defined and known to the faculty and staff. An effective pattern of organization will contribute to the development of the institution and to general morale. Opportunities for adequate communications throughout the institution are highly important.

**Illustrations and Interpretations**

*1. Descriptive Titles and Terms*

The descriptive title as well as the organization of an institution should be appropriate to the purpose, the size, and the complexity of the institution. The indiscriminate use of "university" for "college," the retention of descriptive terms in the title of the institution after the specific function has been dropped or relegated to minor position, or the overly ambitious title not justified by actual practice reflect unfavorably upon an institution. When an institution contemplates changing from a junior college to a senior college or moving to other higher degree levels, it must notify the Executive Secretary of the Commission on Colleges.

*2. Governing Boards*

Although it is recognized that the title and function of governing boards vary, there should be a clearly identifiable body which is granted and must assume the responsibility for policy. The duties and responsibilities of the board should be clearly defined in an available official document. This document should also specify the number of members, length of service, rotation policies, organization and committee structure, frequency of meetings, and other pertinent information.

The board should be assured appropriate continuity and independence. Appropriate continuity is normally assured by express provision for individual terms of adequate length, reasonably staggered; and for removal from office only for cause, by procedures involving due process, desirably by the board itself. The board's independence is normally assured by an expression or an established tradition that the board is independent of outside control in determining policy for the institution. In practice the board has the responsibility to exercise its independent judgment in matters of institutional policy, and should not permit itself to be subject to undue outside pressures.

*3. Advisory Committees*

Lay advisory committees which are utilized by institutions in the development, operation, and evaluation of technical, vocational and other programs should be clearly defined in terms of their role and function as they relate to the faculty, administration, or governing board. The effectiveness and contribution of all advisory groups should be clearly demonstrated by the institution.

*4. Bylaws and Faculty Manuals*

Published bylaws of the board and formalized faculty manuals are strongly

recommended. These or similar official documents should contain the following information: the duties and responsibilities of chief administrative officers, the pattern of faculty organization, statements governing tenure and related procedures, and all other policies and regulations that affect the members of the faculty, the members of the administrative staff, or other college personnel.

*5. Size of Institutions*

Although there is no specific rule as to the minimum size of an institution to be admitted and retained in membership, the enrollment and economic resources should be sufficient to justify an effective educational unit.

*6. Institutions as Units*

When an institution is a unit of a public or private school system, the administration, management, financial and student accounting, and general operation must be such as to reflect clearly the autonomy of the institution as distinguished from the other units of the school system.

*7. Administrative Organization*

In order to promote a proper balance between the diversified activities of comprehensive institutions, the administrative structure of the institution must be designed in such a manner as to enable each division to develop and perform fully its unique responsibilities as defined by the stated purpose of the institution.

For example, administrative responsibility and authority for the development, operation, and evaluation of technical and vocational education offerings should be clearly identified and related to the total organizational structure of the institution. Sufficient administrative leadership must be provided for the effective conduct of technical and vocational programs.

## STANDARD THREE

### Educational Program

The educational program must be clearly related to the purposes of the institution. This relationship between purposes and program must be demonstrated in policies of admission, content of curricula, requirements for graduation, instructional methods and procedures, and quality of work required of the students.

An institution should have a well-defined and clearly-expressed policy of admission. The admission policy should be related to the educational purposes of the institution and should establish such qualitative and quantitative standards and criteria as are necessary to insure the admission of students who can benefit from the educational program. The policy should require the completion of a secondary school curriculum that lays a sound foundation for a program within the institution.

The curricular offerings of an institution should be clearly and accurately described in published materials. Curricula should be directly related and appropriate to the purposes and objectives of the institution, to the ability and preparation of the students admitted, and to the financial and instructional resources of the institution.

The principal focus of the total institution should be on the education of students. Instruction is the basic means to this end. Instructional techniques and policies should express the purposes of the institution, as well as the specific objectives of an individual course. Instruction, to be effective, must be evaluated continuously, and an institution should be able to present evidence that efforts are being made to improve instruction. Concern for improvement of instruction is a mark of institutional vitality.

### Illustrations and Interpretations

*1. Admission*

The admission policy of an institution is usually and properly made at two levels of authority. General policy is established by the governing board normally on recommendation of the administration. The authority to decide the size and character of a student body, for example, is the responsibility of the board

which determines the overall policy of the total institution. Specific admission policy, however, should be the responsibility of the administration and the faculty, and the agency responsible for administering this policy should be clearly identified. In some cases this agency will be a single administrative officer, or a committee of administrative officers. In other cases the agency will be a committee of the faculty, or a combined committee of administrative officers and members of the faculty. In any case, this agency should be identifiable, recognized, and responsible.

In keeping with this statement of policy, there should be an institutional agency (or agencies in the case of multi-purpose universities which operate separate schools within the university) which properly will be responsible for establishing and maintaining the academic criteria for approved admission. In the case of multi-purpose universities which operate separate schools within the university there should be provision for institution-wide coordination of all admission policies.

The admission policies of an institution should be clearly expressed and openly published, and should explain both general and specific requirements and patterns of secondary school courses where specified.

Students admitted to degree programs for the first time should have completed an accredited secondary school program which provides a foundation appropriate for college study. A course of study is a total program as well as a concentration in certain subject matter fields; therefore, the admissions agency should examine the applicant's secondary school record for evidence of his ability to make satisfactory progress in the appropriate disciplines of the institution.

In most cases, completion of an accredited secondary school program means graduation with a diploma. In some cases, however, an admissions agency might justifiably accept a student upon the basis of some other criteria, as, for example, an unusually superior student who has advanced beyond his classmates or a more mature student who has received a reasonable equivalent of secondary preparation in an informal educational program. In all such cases, however, the admissions agency must accept the responsibility of justifying its decision for each acceptance.

The policy with regard to accepting transfer credit should be clearly defined. The quality of work for transferred credits should be in keeping with the quality required of all students of the institution. The student transferring should be officially informed at the time of his admission exactly as to the status of his advanced standing.

It is important that a sufficient enrollment be maintained in each technical and vocational education program to justify its existence. It is equally essential that compromises not be made in the recruitment and retention of students in order to maintain adequate enrollments. Continual low enrollment in any technical or vocational program should raise serious questions regarding its continued operation.

The Commission encourages institutions to develop experimental programs for advanced and talented students. If these experiments represent radical departures from the Standards of the Commission, they must be reported to the Executive Secretary of the Commission.

There should be a definite and clearly defined policy regarding readmission of students dismissed or suspended from the college for academic reasons. The readmission of students dismissed under this policy should be consistent with the recognized academic standards of the admissions agency and of the total institution.

There must be a definite procedure in the administration of admission policy which shall be followed in the admission of all students. All pertinent documents should be on file and examined by the proper admissions agency before a student is admitted. These documents must

include academic records and such other information as is necessary to enable the institution to select students consistent with its admission policy.

It is the responsibility of the institution to assure that its recruiting activities and materials portray the institution accurately and honestly.

Procedures for financial aid and scholarships should be carefully developed and administered in accordance with a consistent policy.

*2. Curriculum*

There should be a clearly defined process by which the curriculum is established and controlled. This process should recognize the various roles of the governing board, the administration, and the faculty.

The determination of general policy is the responsibility of the governing board. Such matters as the number and types of degrees, the number and nature of the schools or colleges through which the curriculum is administered, and the extent to which the institution should offer graduate work are clearly areas over which the governing board has final jurisdiction. The implementation of the general policy and the determination of specific academic details are the responsibility of the administration and the faculty.

In a single-purpose institution responsibility for curriculum control and administration should be assigned to a committee of the faculty and administrative officials. A multi-purpose university might have an agency for each school or college, but should establish a single coordinating agency at the university level. In every case, areas of jurisdiction should be defined, with the channels of communication and control clearly established.

The scope and nature of the curriculum should be related to the stated purposes of the institution and in keeping with the available resources, both financial and academic. Definite efforts should be made to avoid the proliferation of course offerings and degree programs. A small institution with limited resources should not offer a wide variety of major programs and degrees. New programs should be initiated only when a need can be identified and fully documented. There should be in each undergraduate school a recognizable common core of subject matter that expresses the educational philosophy of the institution.

In each degree program there should be an orderly and identifiable sequence of courses with an adequate number of hours required in courses above the elementary level and with an appropriate system of prerequisites. The institution should define clearly what is meant by a major or a field of concentration, with stated minimums and maximums of hours required. There should be limitations on the number of hours allowed in specialized areas. These limitations should be related to the degree programs involved. Provision should be made for electives at least at the advanced levels.

An institution must maintain a permanent file of course descriptions, both credit and non-credit.

Collegiate institutions which offer programs of technical and vocational education must clearly define the level of instruction for each curriculum area by: admission requirements, course content, and the level of performance and competencies to be possessed by students. Publications of the institution should describe technical or vocational programs and relate them to employment opportunities available to students.

Programs which are designed to prepare students for employment in technical or semi-professional occupations may lead to an associate or higher degree. Degree programs shall require high school graduation or the equivalent and shall contain a basic core of general education.

At least one fourth of the total credit requirement for a degree shall be devoted to general education. One component shall be courses designed to develop skill in oral and written communication.

Persons who complete occupationally oriented degree programs should acquire employment competencies for occupations calling for broad technical and theoretical knowledge based on the area of specialization.

Occupationally oriented programs which are designed to prepare students for employment in skilled or semi-skilled occupations may be offered by collegiate institutions and lead to a diploma or certificate.

In a non-degree program which has no general education component, the institution is encouraged to provide instruction in the basic skills of oral and written communication.

Educational programs in skilled or semi-skilled occupational areas should enable students to obtain competencies required for successful performance in occupations requiring varying degrees of skill and related knowledge.

The catalog and other published materials concerning institutional offerings should accurately and honestly reflect the academic resources of the institution.

*3. Instruction*

Effective instruction depends largely upon the general environment in the institution. This environment should be conducive to study and learning. Extra-curricular activities should provide a balance for student life, but should not be allowed to distract the student from his academic pursuits. An institution of higher education should endeavor to create a climate of intellectual curiosity and achievement among its students. The faculty and administration should be able to provide evidence of concern for the general setting in which learning is expected to take place. Such evidence should include efforts to provide for the professional growth of the faculty, provision for extra-curricular seminars and lectures, and other means of creating a stimulating environment.

Programs and courses should be supported by adequate library holdings, instructional materials, and physical facilities. Efficient use of such resources is an indication of concern for effective instruction. It is not enough to show that library, laboratory, and other facilities exist. It should also be possible to demonstrate that they are used effectively in the instructional process.

In certain professional, vocational and technical programs, particularly the allied health areas, appropriate and meaningful clinical affiliations with outside agencies are essential. In all such cases, learning experiences for which credit is awarded must be under the full control and supervision of the educational institution.

Instruction should be related to the objectives of each course, the capabilities of the students, and the general institutional standards of quality. The process of instruction should be organized so that students have a clear idea of the aims and the requirements of each course, and the methods of evaluation employed. Experimentation with devices and techniques in the improvement of instruction should be encouraged, but should be subject to critical analysis.

Evaluation of instruction should be related to subject matter, course objectives, and the program of studies. The effectiveness of instruction should be under continuous study. Examinations should be developed with care, and variety in types of measurements should be encouraged. Attempts should be made to evaluate the longer and more general effects of instruction by such devices as comprehensive examinations, the following up of graduates in more advanced programs or in employment, the sampling of the opinions of former students, and the use of standardized tests.

For technical and vocational programs, the institution must demonstrate that an effective relationship exists between curriculum content and current practices in business and industry. The use of lay advisory committees and a comprehensive followup program of graduates are means commonly used for the evaluation of effectiveness in meeting program objectives.

Effective instruction is related to class size, the instructional load, and the nature of the course. The size of classes should be governed by the nature and purpose of the course, the adequacy of teaching facilities, the competencies of the teaching staff, and the characteristics of the students involved, as well as the cost of the program. In cases of large classes, appropriate provision should be made for instructional assistance, the division of classes into small sections meeting at different times, individual conferences, or other devices.

The operating budget of an institution should reflect its concern with instruction. One measure of the quality of the educational program is the proportion of the budget that is allocated directly to instruction.

Since they are definitely related to the effectiveness of instruction, the following sections under the Standard on Faculty should be considered as a part of the evaluation of instruction; academic preparation of faculty, professional growth, teaching loads, and promotions in rank.

## STANDARD FOUR

### Financial Resources

The financial resources of a college or university determine, in part, the quality of its educational program. Conversely, the quality of the educational program affects the ability of an institution to increase its financial resources. The adequacy of the financial resources of an institution is to be judged in relation to the basic purposes of the institution, the scope of its program, and the number of its students.

The organization of the business structure and the control of financial resources should always reflect the fact that financial resources are tools of the educational enterprise, never the reverse. The business management of an institution should exhibit sound budgeting and control, proper records, reporting, and auditing.

Financial planning for the future within each educational institution is a condition of wisely guided development. Planning should include specific projections of income from each source, specific plans for major categories of expenditure, and plans for the increase of capital resources.

### Illustrations and Interpretations

*1. Sources of Income*

The sources of income for educational institutions are subject to variation with the fluctuations of the economy. State appropriations, appropriations from other supporting bodies, such as, churches, annual giving, tuition and fees charged to students, and income from endowment are each subject to fluctuation. Private and church-related institutions should have a history of diversity of sources of income in order to indicate stability. Each institution should give evidence of the cultivation and utilization of each source of income so that the combination is adequate to its needs.

Endowments are highly important to non-tax supported institutions. Although income from endowment is subject to change with fluctuations in the economy, an institution having available income from this source strengthens the base of stability.

*2. Stability of Income*

Both public and private colleges shall exhibit stability of income as measured by at least three years' history. The amount shall be measured as income per student rather than in terms of gross amount of income.

*3. Organization for the Proper Administration of Financial Resources*

All business and financial functions of the institution should be centralized, preferably under a single business officer responsible to the president. The more important functions which should be performed by the chief business officer and his staff include assistance to the president in the preparation of the institutional budget, control of the budget, the establishment and operation of an appropriate system of accounting and financial reporting, the supervision of the operation and maintenance of physi-

cal plant, the procurement of supplies and equipment, the control of inventories, the financial management of auxiliary enterprises, and the receipt, custody, and disbursement of funds belonging to the institution. In accordance with policies carefully developed by the board of control, the endowment funds and other investments should be administered by an appropriate officer or committee designated by that board. On all of these matters the president should report regularly to the governing board.

The chief business officer should be appointed by the governing board, upon the nomination of the president of the institution. Because of the numerous and varied responsibilities centered in the business office, selection of this officer is an important factor in the effective business management of the institution. He should be a well educated person, experienced in handling educational business affairs. He should realize that the purpose of his office is to serve the institution and to assist in the furtherance of its educational program.

There should be a well conceived organizational plan assigning responsibilities of the various activities which together comprise the business office of the institution. The complexity of the required organization will depend upon the size of the institution and the volume of transactions of a business or a financial nature.

The chief business officer should be one of the principal administrative officers, along with those in charge of academic administration.

*4. Educational Expenditures*

In judging the adequacy of financial operations, basic educational and general expenditures shall be used. These expenditures will include, for the fiscal year, general administration and general expense, instruction and departmental research, libraries, and operation and maintenance of the physical plant. In computing the expenditure per student, the total basic educational and general expenditure is divided by the number of equivalent full-time students at the close of registration of the fall term.

The minimum expenditure, based upon the highest degree offered and the full-time equivalent enrollment of the institution, shall be as follows:

| *Level of Offerings and Enrollment* | *Minimum Expenditures* |
|---|---|
| Junior Colleges and Other Two-Year Institutions | |
| 0-200 | $ 145,000 |
| 201-500 | 145,000 plus $675 for every student in excess of 200 |
| 501-1000 | 347,500 plus $575 for every student in excess of 500 |
| 1001 & Over | 635,000 plus $475 for every student in excess of 1000 |
| Bachelor's Level Institutions | |
| 0-200 | $ 270,000 |
| 201-500 | 270,000 plus $1150 for every student in excess of 200 |
| 501-1000 | 615,000 plus $1000 for every student in excess of 500 |
| 1001 & Over | 1,115,000 plus $850 for every student in excess of 1000 |
| Master's Level Institutions | |
| 0-200 | $ 300,000 |
| 201-500 | 300,000 plus $1200 for every student in excess of 200 |
| 501-1000 | 660,000 plus $1050 for every student in excess of 500 |
| 1001 & Over | 1,185,000 plus $900 for every student in excess of 1000 |
| Doctor's Level Institutions | |
| 0-200 | $ 350,000 |
| 201-500 | 350,000 plus $1300 for every student in excess of 200 |
| 501-1000 | 740,000 plus $1150 for every student in excess of 500 |
| 1001 & Over | 1,315,000 plus $1000 for every student in excess of 1000 |

Costly specialized instructional equipment and supplies and smaller faculty-student ratios will require a greater expenditure of funds for operational purposes in those institutions which offer programs of technical and vocational education. The institution must demonstrate the adequacy of financial resources for the support of specialized occupational programs. When programs depend upon external funding, stability of this income must be evident.

*5. Budget Preparation*

The budget is a statement of estimated income and expenditures for a fixed period of time, usually the fiscal year of the institution. The budget expresses in terms of dollars the educational program of the institution. Regardless of the size of the institution, an annual budget in appropriate detail is essential to proper operations. Since the annual budget is an expression of an educational program, its preparation and execution must be preceded by educational planning. It follows then that the instructional budget, for the most part, should be recommended by academic officers or deans, working closely with department heads and appropriate members of the faculty. Similarly, for other budget areas, recommendations should be made by the appropriate officers of the institution. The business officer assists in assembling and compiling the budget requests, prepares income estimates, and serves as a chief adviser to the president in the financial determination of budgetary allocations. The budget is presented by the president to the trustees for final approval. The review by the trustees should generally be limited to matters of broad policy and not matters involved with details. Preferably, forms should be devised by the institution which are used for the preparation of the budget and are made available to the various divisions of the institution which participate in the budget-making process.

*6. Budget Control*

After the budget has been approved by the president and adopted by the governing board, there should be a system of control. It is only in this way that plans of the governing board and the president with respect to the budget may be carried out, and it is only in this way that the institution can operate according to a preconceived plan. Periodically, the accounting officer should render interim budget statements to department heads for their guidance and assistance in staying within budgetary allocations. Budgetary control is an administrative function, not a board function.

*7. The Relation of an Institution to External Budgetary Control*

An educational institution can neither conduct a sound educational program if its operational procedures are set by legislative act, nor can it be properly administered if an agency outside the institution exercises undue and restrictive financial control. Once funds have been appropriated for an institution (either for building construction or operations) budget making, establishing priorities, and control of expenditures should be entirely within the institution under the jurisdiction of the governing board subject to general policy provisions enacted by the legislature and to the commitments represented through budgetary requests by the institution. State financial and administrative officials adversely affect the educational and academic process when they exercise specific and detailed control over matters which can and should be handled within the institution. Recognition by educational representatives of the responsibility of state officials for the post audit function and the general enforcement of reasonable budgetary law is imperative; however, the educational function of an institution must not be controlled through the use of budgetary techniques or controls by financial officials outside the institution.

*8. Accounting, Reporting, and Auditing*

The accounting system should follow the generally accepted principles of institutional accounting as they appear in *College and University Business Adminis-*

*tration,* published by The American Council on Education. An essential principle of the system of accounting is that the information derived therefrom can be reliably compared with information obtained from the records of other institutions. Desirable uniformity in reports can be approached through the establishment of uniform classifications as recommended in this volume.

The financial statement is a logical extension of the accounting system. If the accounting records are adequate, the preparation of the financial statement is a matter of reclassifying the information supplied by the books of record. Periodic written financial reports to the president are necessary for both the large and the small institution.

An annual audit with a certified report shall be made by competent accountants who are not directly connected with the institution. The accountants should be selected at least partially on the basis of their experience and knowledge of institutional accounting.

Complementing the accounting system and the external audit, there should be a well organized program of internal audit and control.

*9. The Management of Income*

There should be a suitable organization and adequate procedures for the management of all funds belonging to or owed to the institution. Normally, the cashiering function should be centralized in the business office and there should be a carefully worked out system for the receipt, deposit, and safe-guarding of institutional funds. All persons handling institutional funds should be bonded.

*10. Purchasing and Control of Storerooms*

For the institution which is large enough to justify a separate office for purchasing, as well as for the institution which is so small that its buying can be done by the chief business officer, it is essential to efficient operations that purchasing be done centrally. A logical adjunct of the purchasing function is a system of well organized storerooms, such as those for physical plant supplies, library supplies, and office supplies. It is advisable that there be established an inventory system on all of the equipment owned by the institution.

*11. Refund Policy*

The institution shall have a policy and a procedure for the refunding of fees and charges to students who withdraw from enrollment. The policy and procedure should be in keeping with generally accepted practices and must be stated in appropriate official publications.

## STANDARD FIVE

### Faculty

The selection, development, and retention of a competent faculty at all academic levels is of major importance to all institutions. The relationship between faculty objectives and institutional purposes determines in large measure the effectiveness of the total educational program. The institution should make known its purposes and objectives to prospective faculty members, as well as its expectations of them. This should be done in order that objectives sought by the faculty will be in harmony with the institutional purposes.

Provision should be made for adequate faculty participation in the development of academic policies. The organization should provide regular and open channels of communication among faculty and between faculty and administration, and should be broadly representative of the faculty as a whole.

The academic preparation and experience of the faculty are significant factors in determining the quality of a college or university and should be such as to further the purposes of the institution. The continuous professional growth of all members of the faculty should be encouraged, and the institution should assist members of the faculty to further their professional development.

If faculty members are to be effective teachers, they must have reasonable

security. The institution should, therefore, provide faculty members with adequate salaries and a well planned program of benefits to enable them to live in dignity and comfort. The institution should provide salaries and benefits sufficient to enable it to attract and retain a faculty commensurate with the achievement of the institutional purposes. The faculty salaries and the program of benefits should be regularly and frequently re-examined to keep them current with changing economic and social conditions. The institution should further implement the security of the faculty with policies and procedures providing faculty tenure and safeguards for academic freedom.

The total responsibility of each member of the faculty to the institution should be determined in such a way that he can make his maximum contribution toward carrying out the purposes of the institution and, at the same time, enhance his own professional development.

In the final analysis, the performance of the faculty determines the academic quality of the institution. Each institution should provide for continuing evaluation of faculty performance and for equitable recognition of faculty effectiveness.

**Illustrations and Interpretations**

*1. Recruitment and Selection*

Specific assignments of responsibility should exist for identifying, appraising, negotiating with, and selecting new faculty members. Criteria for prospective faculty members should be established which are consonant with the purposes of the institution and with continuous advancement in the academic quality of the institution. These criteria should reflect appropriate minimums of previous preparation and experience for the duties to be undertaken.

The institution should make an active and painstaking search for suitable faculty members and provide for adequate travel and other investigative expense for the appropriate officials. The search should include accumulation of ample information on each candidate considered.

Final authority for approval and selection of faculty members may vary widely, but the selection process should accord adequate weight to recommendations of various officials held responsible for the academic program. Ordinarily, selection should be made after appropriate interviews with the candidate.

The institution should make periodic evaluations of its recruitment and selection procedures and policies, and utilize the findings of such evaluations to modify institutional policies and conditions of faculty employment. The faculty salary scale should be flexible enough to permit employment and retention of individuals needed to upgrade the faculty.

*2. Faculty Organization*

The faculty of all institutions should be so organized that their business may be properly conducted. Faculty membership should be clearly defined.

In small institutions the faculty should be organized as a whole, but in complex institutions it may be by divisions, schools, or colleges. In complex institutions there should be an organization such as a senate or council which meets regularly, in order that the faculty may have an opportunity to deal with the academic concerns of the total institution.

The jurisdiction of the faculty in academic affairs should be clearly defined and should provide adequate scope for the exercise of faculty responsibility. The faculty should be concerned primarily with fundamental academic policies.

Provisions for open and regular channels of communication between faculties and administration should be established.

The rules and regulations relating to faculty organization, bylaws, and responsibilities should be recorded and accessible to all concerned.

*3. Academic Preparation of Faculty*

All teaching faculty members must have special competence in the fields in which they teach. This special competence is

attested to by advanced study, culminating in appropriate graduate degrees; or by extensive work experience in the teaching fields; or in a professional practice which is demonstrably of highest quality.

In the humanities, social sciences and natural sciences, advanced study beyond the baccalaureate is basic to the special competence expected of college level teachers; and all who teach in these fields must have master's degrees.

In the creative or applied arts, and in specialized professional or technical fields, evidence of professional competency is acceptable in lieu of advanced degrees. Faculty members teaching courses which do not carry credit toward a collegiate degree will be expected to have occupational or educational or other professional experiences related to the subjects they teach.

In junior colleges, at least forty percent of the teaching faculty in humanities, social sciences, and natural sciences must possess educational preparation equivalent to one year of advanced study beyond the master's degree; and some faculty members should possess educational preparation equivalent to two years of advanced study beyond the master's degree or have an earned doctoral degree.

In senior colleges, at least fifty percent of the teaching faculty in humanities, social sciences, and natural sciences must possess educational preparation equivalent to one year of advanced study beyond the master's degree and at least thirty percent must hold the earned doctor's degree. In the disciplines in the humanities, the social sciences, and the natural sciences, in which a major concentration of courses is offered, at least one quarter of the faculty must hold the earned doctorate in that discipline.

In special purpose institutions, faculty members who teach courses in the humanities, social sciences, and natural sciences must have master's degree level qualifications in appropriate disciplines.

The competence of faculty members teaching in specialized, technical and vocational programs should be based upon appropriate academic preparation, specialized training, and successful experience as a practitioner in the occupational field.

In all cases, an institution should maintain for each faculty member a current file in which is validated the academic and professional competence upon which are based his employment and his assignment.

*4. Professional Growth*

The academic environment of a college or university and the continuous professional growth of its faculty are inextricably bound together. The administration and the faculty should cooperate in providing opportunity for this professional growth. The institution should encourage professional development by affording opportunities, such as, leaves of absence for study and research, research facilities, membership in professional organizations, attendance at professional meetings and workshops, and in-service training. The general tone of the institution should be one in which the individual faculty member is expected and encouraged to exercise initiative in identifying and meeting his own professional growth needs.

Rapid technological advances and constantly changing employment practices demand that faculty keep abreast of current developments in specialized, technical and vocational fields. Opportunities for formal academic study, periodic work experience, special workshops, or in-service training must be offered to encourage the professional growth of faculty members teaching in technical and vocational education programs.

*5. Financial Security*

Providing faculty salaries which reflect the importance and worth of college teaching in American society should always be an institutional goal. The salary scale should show steady progress toward this goal. In addition, the institution should have as an immediate goal the

establishing of a salary structure which will place it in a reasonably competitive relationship to other colleges and universities. Intensive effort should be made to improve the salary structure if it is short of this immediate goal.

A program of benefits, including a sound retirement plan in which the institution participates and which protects the faculty members' equity, should be maintained.

Any institution in which faculty salaries are substantially below the average of comparable institutions must show that steps are being taken to improve its salary scale; otherwise, it must explain this discrepancy.

*6. Tenure and Academic Freedom*

Tenure regulations for an institution should be established by the governing board in accordance with generally accepted practices and should be clearly stated in writing to the faculty. Each faculty member should be given written notice when he achieves tenure under the institution's policies. Retention of a faculty member who has not been given tenure calls for special justification.

The policies and procedures for the termination of appointments should be stated in writing and should be in accord with commonly accepted practices. Termination of non-tenure members of the teaching staff should be made only after adequate notice has been given. Termination of the appointments of those members of the staff with tenure should be made only for cause, and the individual should be fully protected with the proper safeguards.

The institution should adopt and record a statement of the principles of academic freedom to which it subscribes, and within these principles faculty members should be secure in their freedom of teaching and investigation and in their right to participate as responsible citizens in community activities. Nothing in this statement of principles is intended to protect an incompetent or negligent faculty member or to prevent the institution from making proper efforts to evaluate the work of each instructor. The tone of the institution, however, should be conducive to high faculty morale and a strong sense of faculty freedom and initiative.

*7. Teaching Loads*

The components of the work load of faculty members, and the relative weights assigned to each component, will vary from institution to institution, among divisions within a single institution, and between individual faculty members within a division. Each institution should have a concrete plan for the determination and distribution of work loads. It should demonstrate the plan's equity and reasonableness in relationship to what the individual faculty member is expected to do, and to the maintenance of scholastic quality in the teaching component of his total responsibility.

Faculty work load distributions for an institution should reflect its avowed purposes. If one of the purposes of an institution is the accomplishment of significant research, for example, it will be expected to show that ample time within its gross faculty work load is provided for research. An institution offering graduate degrees will also be expected to show sufficient time within its gross faculty work load as being available for faculty engagement in research.

In reporting its faculty work loads for purposes of this Standard each institution must show that a realistic amount of time is available in the sum-total of faculty work loads to care for the duties associated with institutional operation; that is, committee assignments, participation in administration, executive responsibility for institutional and divisional functions, duties of public and alumni relations, and assigned supervision of student activities.

In calculating the time value of the student instruction load assigned to each faculty member certain factors should be considered including the number of class contact hours, the number of preparations, the weekly student load, available help (such as secretarial, teaching

assistants, and grading machines), and the amount of time engaged in research. The institution's plan for the determination and distribution of work loads should be subjected to periodic appraisal and revision.

The institution should have suitable policies to protect against the assumption of outside responsibilities by the faculty member which might cause encroachments upon either the quality or quantity of the work he is employed to perform for the institution.

In specialized, technical or vocational education programs, it is essential that the institution secure at least one full-time faculty member in each curricular area in which a major is offered.

*8. Criteria and Procedures for Evaluation*

Each institution should have a statement of the criteria against which performance of the individual faculty member will be evaluated. These criteria may vary from unit to unit, and between positions, but in total they should be consonant with the purposes of the institution. The criteria should be known and accepted by both the evaluating officials and the faculty, and be readily available to the faculty. Periodic appraisal using established criteria is essential and the institutional organization should establish definite and stated responsibility for both the criteria and procedures to be used in making such appraisals.

*9. Promotions in Rank*

In institutions in which faculty rank is employed, criteria for promotion based on factors in addition to years of experience should be adopted and understood by all concerned. Promotion procedures and policies should be such as to exercise a positive influence upon the morale and professional development of the faculty. They should reflect regard for rank as a recognition of quality of performance, and not as a substitute for salary.

*10. Salary and other Recognitions*

The institution should have established criteria and procedures for giving salary increments and other types of recognition.

## STANDARD SIX

### Library

The library is a vital instrument of instruction, not only in general education but also in the cultural development of students and faculty. The library should be administered as part of the academic program. This administration should include a well-trained professional staff with representatives of the teaching faculty acting in an advisory capacity. The staff should be alert to new curricular development and needs. Services should be evaluated regularly to observe the library's effectiveness through the nature and extent of its use.

The book and periodical collection should, by quality, size, and nature, support and stimulate the entire educational program. Substantially stronger holdings should be required for graduate and research programs. The collections should be housed in a well-lighted, ventilated, sound-conditioned, and adequately equipped building, with a seating capacity sufficient to accommodate the needs of the students and faculty. The library should be open adequate and appropriate hours, and the books and periodicals, preferably in open stacks, should be organized for easy access, use, and preservation.

### Illustrations and Interpretations

*1. Supplementary Document*

In conjunction with the Library Standard the following should be used as a reference: *Library Statistics of Colleges and Universities, Institutional Data,* (U. S. Department of Health, Education, and Welfare, Office of Education, Library Services Branch). In using this reference, institutional authorities should consider it a serious danger signal if the library regularly falls in the lowest quarter of any of the categories analyzed.

*2. Committee*

There should be a proper academic committee concerned for the library which should include the librarian.

*3. Records*

Pertinent records shall be kept of acquisitions and library use.

*4. Budget*

The library budget shall cover the purchase, processing, and servicing of the collection of printed library materials. Special services or special materials (such as recordings, films, other audio-visual aids) demanded of and furnished by the library will require funds in addition to regular budgetary allotments.

*5. Staff*

The library should be adequately staffed by qualified librarians and skilled non-professional personnel, under the direction of a chief librarian who ranks with comparable administrative officers. Professional staff members should be accorded proper recognition, proportionate to their qualifications, experience, and duties. This recognition may consist of faculty rank and status, where appropriate, including comparable salaries and privileges.

The minimum number of professional librarians required is the number necessary to assume responsibility for administration, readers' services, and technical processes. The marks of a professional librarian are to be taken to include a graduate library degree from a recognized institution, participation in professional library organizations, and performance of duties of a professional nature. The non-professional staff should relieve librarians of work that is essentially clerical.

*6. Collections*

Faculty members are responsible for participation in book selection. The collections should be frequently tested against recent bibliographies and other standard guides. Continuous weeding should be followed, with the advice of faculty concerned. An institution should be able to show that its library holdings reflect the purposes of the institution, the curricula offered, and the courses taught.

In technical or vocational education, special emphasis should be placed on securing pertinent trade, technical, and professional journals as well as standard reference materials in each curricular area. In special purpose institutions, the library collection should include comprehensive holdings to support the program of general education as well as materials related to the specialized programs.

*7. Buildings and Equipment*

Proper library seating accommodations are needed for at least one-fourth of the largest number of students on the campus at any one period of the day. In areas of graduate study and research, carrels which may be individually assigned should be provided. Conference rooms and seminars are highly desirable, especially in libraries serving graduate schools.

*8. Hours Open*

Two and four year colleges should remain open for service a minimum of sixty hours per week, and universities eighty hours per week.

*9. Service*

Every possible barrier, whether physical or psychological, between patron and book should be eliminated. Any unusual demands on the library for service outside normal academic expectations should be evaluated and, if necessary, receive special support. Evaluation of services may be measured by study of statistical records or by spot checks and studies. The faculty should be invited, at periodic intervals, to criticize and comment upon library service.

## STANDARD SEVEN

### Student Personnel

All institutional members should have and should express a continuing concern for the total welfare of each student including his physical and mental health, development of capacities and talents, establishment of relationships with other persons, and motivation for progress in

intellectual understanding. The institution should seek to know as much as possible about the background of its students and should keep this information current and appropriately confidential.

The institution should provide activities which not only will motivate the students toward significant academic achievement, but also will establish meaningful associations among students, faculty, and the administration and will furnish ample opportunities for the development of numerous individual talents.

In order to maintain quality in student personnel work, the student's records must be accurate, clear, and complete. The records should be readily accessible to those responsible for student guidance. These data, incorporating pertinent information from pre-college life, should extend through graduation and into alumni life.

Knowledge of and concern for the student's physical and mental health are of major importance. Effective guidance requires careful evaluation of abilities, interests, and plans. The program of orientation should establish an individual and personal relationship between the entering student and the institution as a whole—that is, its curricula, its range of extra-curricular activities, and its general educational objectives.

The value of student activities may be measured by the extent to which these activities contribute to the educational program of the institution. The entire program of student activities should be held under college supervision. Participation of students in such activities should be restricted to those who meet satisfactory academic standards of work. The athletic program of the college shall be organized under faculty supervision and it should meet ethical standards, as well as the prescribed regulations of the athletic conference or association of which the institution may be a member.

**Illustrations and Interpretations**

*1. Administration*

Careful evaluation should be made to determine the degree to which the administrative organization of the personnel program supports, contributes to, or detracts from the purpose and objectives of the institution. The size and location of the institution will also affect the pattern of organization for the administration of the student personnel program.

In order for the student personnel program to make its contribution to the total educational program, it requires the recognition, acceptance, and support of the administration and the faculty. Well trained, qualified people should be administratively responsible for the student personnel program and should enjoy comparable status to other university or college administrators.

*2. Academic and Personal Records*

Institutions shall have adequate student records but should be careful not to maintain unnecessary duplications. The registrar or other appropriate institutional official shall keep files of admissions and matriculation information, scholarship records, transcripts, and other essential data. Some of these records should be duplicated and other pertinent records should be developed and maintained by appropriate academic deans, directors, department heads, and any others charged with the responsibility of counseling.

*3. Orientation*

The orientation program should be flexible, challenging and current, and should include information that is meaningful and helpful to a student entering the academic experience. The program should be periodically evaluated.

*4. Counseling*

The institution, regardless of size, should make provisions for individual attention to students. Experienced counselors should be available to the student in reference to his academic, personal, and vocational problems. In some cases counseling in these areas may be shared by various administrators or faculty. In every case there should be a well developed program, which is periodically evaluated, and for which there is a clear designation of responsibility.

*5. Health*

The size, location, and nature of an institution will partly determine the extent to which it should provide for medical care. An adequate health record, made before or upon entrance, shall be a part of every student's file.

*6. Athletics*

In all institutions conducting formal programs of intercollegiate and intramural athletics these activities shall be a part of the total educational program of the institution, and the administration and the faculty shall have the responsibility for and control of all such activities. Admission procedures and requirements, including academic standards and curricular requirements for athletes, shall be the same as for other students.

Funds used to support all athletic programs shall be fully controlled by the administration and shall be reflected in an annual audit of the institution's financial records. Funds designated for instructional purposes shall not be diverted to the intercollegiate athletic program.

A program of intercollegiate and intramural athletics should provide a variety of opportunities for students who desire participation. Coaches and staff members employed in the athletic program shall have sufficient academic training and orientation to contribute to the educational objectives of the institution. Regular appraisal of the athletic program should be made to determine its value to the educational program of the institution.

*7. Alumni*

Every institution should keep current and accurate records of the addresses, occupations, and accomplishments of alumni. The effectiveness of an institution is revealed through the attitudes and achievements of those who have attended the institution. The relationship between the institution and the alumni should be one which encourages each alumnus to continue his interest in and to participate in the development of the institution.

## STANDARD EIGHT

### Physical Plant

The physical facilities, including buildings, equipment, and campus, should be designed and maintained to serve the needs of the institution in relation to its stated purposes. There should be sufficient campus area to provide adequately for buildings and such activities as are related to the educational program of the institution. The physical facilities should be used as efficiently as possible in keeping with the educational program of the institution and the students it serves. The architectural design and appearance of the physical plant should be in harmony as far as practicable, and should be aesthetically compatible to the educational mission of the institution. A master plan for campus development should be maintained.

### Illustrations and Interpretations

*1. Existing Plant Facilities*

Each institution should establish with the assistance of competent consultants a master plan for the existing campus. A topographical map should be a part of this plan.

Sufficient rooms for classes of various sizes should be available to meet the instructional needs of the institution. These should be properly lighted and adequately equipped, heated, and ventilated for their purposes and their uses.

Thorough space utilization studies should be made to establish actual need before the addition of new plant facilities. Classrooms, laboratories, and other facilities should be properly scheduled for maximum utilization. Special programs requiring special facilities should not be offered unless the appropriate facilities are available.

The unique and specialized objectives of technical and vocational education programs require instructional equipment, materials and supplies which are representative of those used in the occupations for which training is provided. Institutions must make a periodic assess-

ment of laboratory and shop facilities and equipment in terms of current practice in business and industry.

Periodic studies should be made of the existing plant for the purpose of anticipating necessary renovation and eliminating, as far as possible, all hazards, including fire. Competent consultants should be utilized to determine the value of buildings and equipment for adequate insurance coverage.

Adequate landscaping should be utilized to divide the campus into attractive and useful areas. Satisfactory parking space should be available, and wherever practicable traffic should be banned from pedestrian areas.

*2. Expansion of Plant Facilities*

Expansion should be considered as a long range program so that plant development can proceed in an orderly sequence, thus eliminating many problems before they occur. The long range plan should include purchase of needed additional property prior to the actual demands for growth and expansion.

The campus development program should indicate space and function of campus activities in terms of long range planning. The location and accessibility of dormitories, dining halls, library, classrooms, and other facilities should be carefully considered and become a part of the master plan. As far as feasible, the long range plan should determine the general design of new buildings so that architectural harmony can be maintained.

It is strongly recommended that administrative officers and faculty members who are to occupy or direct the activities in new buildings be consulted during the planning stages. For example, librarians should be consulted in planning libraries and other professional people should be consulted in planning buildings used for technical purposes.

In the planning and construction of classroom buildings, consideration should be given to changing instructional methods which may be reflected in changes of classroom size, in the use of teaching devices, or both.

*3. Maintenance*

The duties and responsibilities for plant and campus maintenance should be clearly defined and specifically assigned. There should also be clear lines of responsibility for campus security, fire protection, and traffic safety.

In the interest of efficiency and economy the cost of maintenance and housekeeping should be evaluated and compared with the data and experience of other institutions. High standards of housekeeping, preventive maintenance, cleanliness, and care of grounds should be observed.

When they are a part of the institutional operations, utilities such as water, power, and sewerage should be properly and efficiently maintained and these systems should be adequate and capable of expansion.

## STANDARD NINE

### Special Activities

Many institutions have developed a variety of supplemental and special educational programs in fulfilling their stated objectives, their public and community service demands, and their responsibilities to their constituents. Special activities programs are defined as: operationally separate units, external or special degree programs, off-campus classes and units, independent study programs including correspondence and home study, conferences and institutes including short courses and workshops, foreign travel and study, media instruction including radio and television, and on-campus programs including special summer sessions and special evening classes.

An institution inaugurating, continuing, or expanding special activities programs should have resources available beyond those provided for the basic academic programs of the institution. Since the quality and excellence of all instructional programs should be of constant concern to every institution, it is essential that the provisions for special

activities should include an adequate administrative organization, a sound financial base, a competent faculty, and sufficient and adequate facilities for the program offered.

The Commission does not wish to be restrictive on new special activities programs of a member institution but rather seeks to encourage innovation and an imaginative approach to providing quality instruction according to the educational needs of the college's constituents. An institution contemplating the inauguration of a new special activity not covered by this standard shall inform the Executive Secretary of the Commission in advance as to the nature, design, and purpose of the new program area. An institution may solicit an advisory opinion of the Executive Secretary of the Commission as to the appropriateness of a contemplated new activity.

Unless specifically qualified in the Illustrations, credit regulations for the special activities programs should be consonant with those of the total institution. The amount of credit for each course or program should be determined in advance through the regular channels of the administrative unit for special activities in cooperation with the appropriate deans and departments of the institution. Non-credit programs should be appropriately identified and recorded by means of the continuing education unit (c.e.u.).

On-campus programs of a special activities nature, whether designated as continuing education or as adult and extension activities, should be coordinated within the organizational structure of the institution relative to special activities; they should be governed by the policy guidelines of the institution.

The Standards of the College Delegate Assembly apply directly to all programs. It shall be the responsibility of the parent institution to justify all special activities (credit or non-credit) within the framework of its stated purpose and objectives as a function of its central mission. All special activities programs must be compatible with the total educational program of the institution.

Special activities shall always be evaluated and judged by the Commission on Colleges as part of its function in recommending the granting or reaffirming of accreditation of the total institution.

**Illustrations and Interpretations**

*1. Administration and Organization*

Each member institution involved in special activities will provide appropriate organizational structure and administrative processes according to the magnitude of its program. These must be well-defined and should be clearly understood by the total institution. Institutional organization should recognize and provide a separate identity (a clearly identifiable and defined administrative unit) for special activities under the direction of a designated administrative officer (e.g., vice chancellor, vice president, dean, director, or coordinator). All policies and regulations affecting special activities should be formulated by the administrative officer in conjunction with and as a part of campus-wide administrative and academic advisory groups.

The administrative unit for special activities shall be responsible for coordination of all special activities within the institution, both on and off campus.

Procedures within the institution for the establishment of new programs, interinstitutional agreements and arrangements, and resources allocation should recognize special activities as an integral part of the total institution. The administrative unit should provide for continuous systematic evaluation of programs and offerings within the total scope of special activities.

The continuing education unit should be used as the basic instrument of measurement for an individual's participation in and an institution's offering of non-credit classes, courses, and programs. A c.e.u. is defined as ten contact hours of participation in an organized continuing education (adult or extension) experience under responsible sponsor-

ship, capable direction, and qualified instruction. Information and guidelines on c.e.u. may be obtained by writing to the Executive Secretary of the Commission. The c.e.u. records will serve as a part of the full-time equivalent student account for the institution.

*2. Financial*

The administrative unit for special activities should operate under a clearly identified budget on a fiscal year basis. The budget should be prepared and administered (internal management and accounting) by the designated officer of the unit in conformity with the fiscal policies and procedures of the central business office of the institution. Institutional or general fund support for special activities should be consistent with institutional policy for support of all divisions or units within the total institution.

Special activities should not be determined solely on the principle of being "self-supporting" but rather on the principle of fulfilling the educational responsibility of the institution to its constituents. Necessary financial resources must be available and committed to support the special activities of the institution.

*3. Faculty*

Provision of an adequate and qualified faculty and staff to support the special activities program is essential to maintaining the academic quality of the institution. Full-time faculty and staff members in special activities should be accorded the same recognition and benefits as other faculty and staff members of the institution.

All who teach in special activities must have competence in the fields in which they teach, attested to by advanced study culminating in appropriate graduate degrees; or by extensive work experience in the teaching fields; or in a professional practice which is of the highest quality.

Policies governing the amount of teaching allowed, overloads, and compensation for full-time faculty members from other units of the institution assigned to special activities programs should be developed and approved jointly by the administrative head of the special activities unit and the appropriate administrative and academic personnel of the institution.

*4. Students*

It should be recognized by the total institution that the nature and characteristics of the typical special activities student is somewhat different from that of the regular full-time college or university student. The special activities student is usually older, career oriented, and engaged in a full-time job. Student development services should be provided and be developed cooperatively by the administrative unit for special activities with other appropriate units of the institution.

Policies should be developed for admissions, registration procedures, counseling and guidance services, and records. The characteristics of these policies should be directly related to the nature, character, and need of the special activities student.

*5. Operationally Separate Units*

An operationally separate unit off-campus is a degree-granting division or unit of an institution, located in a geographical setting separated from the parent institution or central administration and authorized for a stated purpose in relation to the parent institution and the area served. It has planned programs leading to undergraduate, graduate, or professional degrees which are granted by or in the name of the parent institution or central administration.

A degree-granting unit shall have such administrative organization, programs, financial resources, library, and physical facilities that it can be evaluated as an autonomous institution in terms of the Standards of the College Delegate Assembly. It must follow regular procedures for membership in the Southern Association of Colleges and Schools. When the unit achieves accreditation, it will be

listed as any other institution in the membership.

*6. External or Special Degree Programs (Non-Traditional Study)*

An external or special degree program comprises a course of study different from the traditional undergraduate degree which may or may not require on-campus study or residence and which relies almost entirely on independent study and examination. An institution inaugurating, continuing, or expanding an external or special degree program should develop specific policies and guidelines which include admission policies with special attention to the age and maturity of the individual to his prior educational achievement and vocational and avocational experiences and to his goals and objectives. Guidelines concerning transfer of credit, credit by examination (e.g., College Level Examination Program of the College Entrance Examination Board and the institution's own examinations) and residency requirements (periodic seminars and special sessions), if any, need to be established. Methods of evaluating a student's progress, including advising and counseling, should be explicit. Evaluation and examination procedures to determine that the individual has successfully completed the degree requirements must be clearly outlined and fully developed.

An institution contemplating the inauguration of an external or special degree program should inform the Executive Secretary of the Commission in advance and arrange for a preliminary advisory study by the Commission prior to undertaking the program.

*7. Off-Campus Classes and Units*

Courses taught in an off-campus setting should maintain the academic integrity of the institution. Special attention should be given to insure the appropriateness of the courses to the students. Courses requiring laboratories, extended library study, or other special materials should not be offered unless arrangements are made to provide the necessary resources.

When an off-campus program in a particular locality grows to the extent that the institution is offering a comprehensive academic program to a specific student body, then the institution should consider the establishment of a special off-campus unit such as a center or regional campus. The parent institution should provide an organization for full-time administration of the unit, for faculty, for library staff, and for physical facilities, that are comparable to their campus counterparts.

*These programs and the amount of credit or c.e.u.'s for each should be determined in advance through the regular channels of the administrative unit for special activities in cooperation with the appropriate deans and departments of the institution.*

*8. Independent Study*

Independent study programs including correspondence courses basically fall into one of two categories. One type is the formalized independent study course or program which may lead to a degree. Academic standards in such programs and courses shall be consistent with standards in on-campus classes and may require such formal requirements as written reports, examinations, and on-campus conferences with faculty.

A second type of independent study is that which relates to the study which a person may do on his own and for which he may seek credit from the institution by examination, such as the CLEP.

*These programs and the amount of credit or c.e.u.'s for each should be determined in advance through the regular channels of the administrative unit for special activities in cooperation with the appropriate deans and departments of the institution.*

*9. Conferences and Institutes*

Conferences and institutes and their many variations are an important part of the special activities programs of many institutions. For purposes of identification and clarification the following categories and definitions may be useful:

**Conference:** A general type of meeting usually of one or more days' duration, attended by a fairly large number of people. A conference will have a central theme but is often loosely structured to cover a wide range of topics. The emphasis is on prepared presentations by authoritative speakers, although division into small group sessions for discussion purposes is often a related activity.

**Institute:** Generally similar to a conference, but more tightly structured to provide a more systematic development of its theme, with the emphasis more on providing instruction in principles and techniques than on general information. Participants are usually individuals who already have some competence in the field of interest. Institute programs may have certain continuity, meeting on a yearly basis for example.

**Short Course:** A sequential offering, as a rule under a single instructor, meeting on a regular basis for a stipulated number of class sessions over a short period of time (e.g., one to three weeks, etc.). Quizzes and examinations may be given depending upon the determination of requirements. The non-credit course under the Public Service definition may resemble the credit course in everything but the awarding of credit. It may also be more informal and more flexible in its approash in order to meet the needs of students.

**Workshop:** Usually meets for a continuous period of time over a period of one or more days. The distinguishing feature of the workshop is that it combines instruction with laboratory or experiential activity for the participants. The emphasis is more likely to be on skill training than on general principles.

**Seminar:** A small grouping of people with the primary emphasis on discussion under a leader or resource person or persons. In continuing higher education a seminar is more likely to be a one-time offering, although it may continue for several days.

**Special Training Program:** A skill program which offers a combination of instruction and practice. The approach is usually on a more individualized basis than a workshop.

*These programs and the amount of credit or c.e.u.'s for each should be determined in advance through the regular channels of the administrative unit for special activities in cooperation with the appropriate deans and departments of the institution.*

*10. Media Instruction*

Media instruction includes any form of instruction offered in special activities through television, radio, computer assisted instruction (CAI), telewriter, telelecture and other such forms of media instruction which may develop.

*These programs and the amount of credit or c.e.u.'s for each should be determined in advance through the regular channels of the administrative unit for special activities in cooperation*

*with the appropriate deans and departments of the institution.*

*11. Foreign Travel and Study*

Credit shall not be permitted for travel *per se*. Degree credit shall be granted only for residence or travel abroad involving an academic program supplemented by seminars, reading, reports, or similar academic exercises based on the same criteria for credit as independent study. Special attention should be directed to the quality of the academic programs at the foreign institution or institutions.

*These programs and the amount of credit or c.e.u.'s for each should be determined in advance through the regular channels of the administrative unit for special activities in cooperation with the appropriate deans and departments of the institution.*

*12. On-Campus Programs*

Many of the special activities of an institution are conducted on campus. Such programs include evening classes and special summer sessions which are not a part of the regular schedule and curriculum of the institution and other types of programs which are conducted on campus in continuing education, adult, and extension activities (e.g., conferences, institutes, short courses, workshops, seminars, and special training programs).

*These programs and the amount of credit or c.e.u.'s for each should be determined in advance through the regular channels of the administrative unit for special activities in cooperation with the appropriate deans and departments of the institution.*

## STANDARD TEN

### Graduate Program

A graduate program comprises a course of study beyond the baccalaureate level usually leading to an advanced degree. An institution inaugurating, continuing, or expanding a graduate program should have curricula and resources available beyond those provided for the undergraduate college. Since the quality and excellence of graduate instruction should be of constant concern to every institution offering graduate work, it is essential that the provisions for graduate instruction should include an adequate administrative organization, a competent faculty in the major and supporting fields, and library and laboratory facilities consonant with the programs offered. An institution contemplating the inauguration of a program at a higher degree level should inform the Executive Secretary of the Commission at least one year in advance and arrange for a preliminary advisory study by the Commission before undertaking the program.

The graduate tradition of an institution is based on the careful selection and the stability of staff, teaching quality and scholarly productivity on the part of the faculty, and well-defined principles and practices governing the selection and retention of students. It is important that graduate work be characterized by flexibility, the use of unique abilities, and the production of well trained graduates. The value of graduate work is to be judged by the quality of the product; consequently, a program of continuous evaluation of graduate instruction should be undertaken by an institution so as to maintain and improve the qualitative standards of its work.

A distinction between undergraduate and graduate work should be observed. Although this does not entail a complete separation of these fields of instruction, courses or curricula classified as graduate necessarily involve research relative to such programs. There are many divergent conceptions of research. It is not a mere gathering and organizing of facts and opinions. Research is a discriminating activity of well informed minds concerned with the discovery of new truth, with the critical examination of the evidential basis of knowledge that is accepted as true and believed to be true, with the correction of error, and with the application of both old and new truth to

the uses of mankind. Research and training in research are fundamental in all graduate programs.

Graduate work should not be undertaken unless the academic integrity of the undergraduate program can be maintained and financial support for superimposed graduate studies is unusually strong. Institutions embarking upon new programs or expanding existing programs should appraise critically the resources at their disposal and study the effects of graduate work on the undergraduate program. Graduate education is expensive and institutions engaged in it should take into consideration national estimates of average per student cost in this field of instruction.

**Illustrations and Interpretations**

*1. Administrative Organization*

Institutional organization should recognize and provide a separate identity for the graduate program under the direction of a designated administrative officer (i.e. Dean, Director, Coordinator, etc). All policies and regulations affecting graduate curricula and requirements leading to graduate credits, certification, and degrees should be formulated by a graduate faculty, or an elected or appointed representative body of the faculty (i.e. Graduate Council or Committee). Eligibility for membership in the graduate faculty should be determined by a well-defined set of criteria based essentially on qualifications and proficiencies required in programs offered.

Within the organization of the graduate program, provision should be made for systematic examination, approval and continuous evaluation of curricular offerings and requirements, and a constructive integration of research with instruction.

Procedures within the institution for the establishment of new programs, and for the periodic review of continuing programs, should include evaluation by professionals acquainted with acceptable graduate work elsewhere in the nation. Each graduate program should be evaluated and approved individually by the institution. The Commission on Colleges expects to be informed about the implementation of this Standard for any new graduate program whether at the same or higher level than the existing programs.

*2. Faculty*

Graduate faculty members must be productive, creative scholars. Productive scholarship requires devotion to the discovery, development, and refinement of knowledge and techniques in one's field of expertise, usually resulting in publications for evaluation and criticism by peers.

In science and engineering, successful competition for research grants is sometimes an excellent indicator of scholarly competence.

Each graduate faculty member should hold the highest earned degree in his discipline. In some cases experience and high productivity may substitute for the doctorate.

A graduate faculty member responsible for the direction of doctoral research must be experienced in the supervision of independent study. Normally, a faculty member should not be approved for doctoral direction until he has supervised several master's theses.

An effective graduate program must be nurtured by the scholarly stimulation of a group of faculty, whose specialties are complementary. The numbers required vary with the discipline(s) and the breadth of the program.

Recommended minimum numbers of graduate faculty members are:

a. Master's degree—four or five full-time faculty members in the subject field (may include related disciplines).

b. Doctor's degree—four or five full-time faculty members whose scholarly fields are interdependent and directly relevant to the candidate's doctoral program.

A graduate institution should provide an opportunity for the continuing education of graduate faculty by sabbatical leaves, conferences, seminars, short-

courses, and funds for travel to scholarly and professional meetings.

*3. Students*

The quality of a graduate program is closely related to the quality of students admitted. Each graduate school must have a well formulated admission policy for each of the levels of graduate work offered. Separate admission standards may be used for students who seek professional improvement, but do not intend to pursue a degree.

Admissions requirements should include evidence of potential for graduate study from:

a. undergraduate transcripts
b. evaluation by professionals in the field
c. nationally recognized aptitude measures
d. interviews, when possible.

Exceptions should be based upon alternative measures of scholarly potential.

Enrollments in graduate programs should be sufficient to provide meaningful interaction between graduate students and between students and faculty.

*4. Instructional Program*

An institution must be able to demonstrate a substantial distinction between its undergraduate program and any graduate programs that are offered. Graduate education is directed toward the training of scholars and practitioners whose professional roles will be the achievement of knowledge or the improvement of practice in their professions. A graduate curriculum is especially concerned with the fields of learning that are essential to the profession it serves, with attention to those studies that contribute to the profession at an advancing edge of its development. Instruction must afford the depth of training, the specialized skills, and the sense of creative independence that will allow the student at once to practice and contribute to his profession. Mixed instruction of graduate and undergraduate students, if permitted at all, must be such as to assure appropriate attention to both groups.

A graduate program should be initiated on the base of a previously existing undergraduate program (e.g. an undergraduate history department that undertakes a master's degree in history) only after the quality of the prior degree program is demonstrated by the success of its graduates.

Multidisciplinary or other graduate programs which have no undergraduate counterpart should be undertaken only upon demonstration of sufficient strength of resources in participating and supporting disciplines.

A graduate program should be undertaken in a given field only if the institution is capable of offering graduate-level studies in the related disciplines or fields on which its intellectual support depends.

Degree requirements and the normal period of fulfillment of requirements, must be clearly stated. Regular means for periodic determination of progress toward the degree must be demonstrated.

**Master's Degree**

A program leading to a master's degree must be the equivalent of no less than one year of full-time graduate study. It must provide:

a. An understanding of research and the manner by which research is conducted.

b. An understanding of the subject matter, bibliography, theory and methodology of the field.

c. Association with resident faculty sufficient to permit individual evaluation of the candidate's capabilities and achievements.

d. Demonstrated means of certifying the knowledge and skills enumerated in a through c.

**Doctor's Degree**

A program leading to a doctoral degree must be the equivalent of no less than three years of full-time graduate study. In addition to the qualities required by the master's degree, it must provide:

a. One full year of continuous residency after admission to a doctoral pro-

gram, the major portion of which is devoted to the academic program.

b. Substantial mastery of the subject matter, theory, bibliography, research and methodology of a significant part of the field, including any special language(s) necessary to its pursuit.

c. Independent research competence as evidenced by a doctoral dissertation which augments or reinterprets the knowledge of the field, with respect either to its intellectual substance or its professional practice. The dissertation should be in a form suitable for publication.

d. Appropriate and regular means for determining candidacy status and the fulfillment of degree requirements.

*5. Off-campus Graduate Instruction*

In a graduate course taught in an off-campus temporary location, the content and quality of the course should be comparable to similar courses on the campus. The instructor should meet all criteria for graduate faculty members and must be selected by those administrators who would determine the staff for a similar course on the campus. Faculty salary should be based upon professional services rendered rather than upon course enrollments. After a course has begun, it should not be discontinued because of a reduction in initial enrollments. No more than one-third of the credits for a master's degree may be earned through extension courses, unless it can be demonstrated that a majority of the students enrolled have been admitted to a graduate degree program designed and regulated by the appropriate academic unit on campus. Courses taken by correspondence are not acceptable for credit toward a graduate degree.

When this Standard and its illustrations are met in full for single, specifically designed programs at a location other than the main campus, all work leading to the master's degree may be offered. Under these conditions the program must be under the direction of the comparable unit on the main campus.

*6. Library*

Institutions offering graduate work need library resources substantially in excess of those required for the bachelor's degree. These resources should include the basic reference, bibliographic, and monographic works in each field where work is offered as well as the major journal and serial sets needed for maintaining currency in each discipline. In both quantity and quality library resources for doctoral study should be distinguished in excellence and bear directly upon the program offered by the institution.

In addition to volumes, a library should also have qualified staff, equipment for interlibrary sharing, research guides, and adequate space for utilizing the collections, including individual study carrels for graduate students and faculty. The library staff should be trained to exploit effectively the resources of their own library as well as those of other libraries with which it may be linked. Generally, a long-demonstrated formula in librarianship indicates that an institution should spend twice as much for staff and services as it spends for library materials. The institution should recognize that library resources and services for graduate work are expensive, and, if separate facilities for graduate disciplines are maintained, these collections should be adequately housed and staffed.

*7. Financial Resources*

Graduate education is inherently more costly than undergraduate education (see Standard Four, Illustration 4). This incremental support must be reflected in faculty salaries commensurate with the qualifications described in Illustration 2 above. Direct support of graduate students is essential to advanced graduate programs of quality. The institution must also be prepared to support the research of graduate students and graduate faculty, e.g. library, computer service, laboratory facilities and equipment.

Sources of funding whether federal, state or private must include a sufficient portion of institutional funds to insure the stability and continuity of the com-

mitment to the graduate program. It should be recognized that the Illustrations noted above require a minimum increment of support regardless of the size of graduate enrollments.

When new graduate programs are added, the institution must demonstrate incremental support when the program is initiated and/or during the developmental years immediately prior to the date of initiation.

## STANDARD ELEVEN

### Research

As long as colleges and universities have been established, members of their faculties have made significant contributions through the discovery of new knowledge. The zest for discovery of truths as well as for the communication of knowledge is an essential characteristic of an atmosphere conducive to the development of scholarship.

For adequate support of his individual research program, the teacher-investigator must frequently seek funds from outside sources. In recent years ever-increasing financial support for research has been made available through private and governmental agencies. Such contractual or sponsored research has become an integral part of the activities of colleges and universities today.

Policies relative to research should insure conformity of this activity to the stated purposes of the institution, provide an appropriate balance between research and instruction, and guarantee control of administration of the research by the institution. The investigator's freedom in research, including direction and communication of results, should be preserved.

In using funds from contracts, grants, and contributions in support of research, the institution should not become dependent upon that portion allowed for indirect or overhead cost in support of its regular operating budget.

### Illustrations and Interpretations

*1. Administration*

Although many advantages accrue to institutions from research support possibilities through private and governmental agencies, problems often arise through research contract and grant procedures and administration. As a means of dealing with these problems, the administration of research should provide for conformity of research activities to the stated purposes of the institution.

Responsibility for contractual research should be related to departmental administration. If departmental administration fails to provide leadership, lack of morale and lack of coordination of activitices can result.

The institution should have a clear policy relative to the division of responsibility between research and other activities. Certainly each institution may set up its own policy, but it seems essential that some policy be established and that all concerned conform to the stated policy.

The institution should develop definite policies relative to summer salaries paid from contract and grant funds, to salary supplements during the regular academic year, and to research consultative services undertaken by faculty members. These policies may well vary from institution to institution, but again a clearly understood policy is needed.

Administration of research contracts and grants should attempt to minimize the amount of time utilized by the teacher-investigator in seeking support for and in administering individual research contract and grant programs. Much time can be saved him if the administrative organization within the institution provides relief for as much responsibility as possible in administrative matters.

*2. Institutional Control*

In accepting funds from outside agencies, the institution must maintain control of its policies relative to research and instruction. Many agencies attach rather

stringent regulations directing and limiting the character of research if they provide funds to support it. The rapid growth in acquisition of research grants from and contracts with outside agencies can endanger the institutional control of its activities unless this prerogative of the college or university is carefully guarded.

Continuity of support for general institutional research activities should not be endangered through the acquisition of research contracts and grants. Grants are given and contracts are made for limited lengths of time. When and if the institution becomes dependent, even partially, upon such funds for faculty salaries or graduate fellowship and assistantship stipends in support of graduate programs, termination of grants or contracts may mean the entire educational program, as well as the research activities, would be seriously jeopardized.

*3. Primacy of Teaching Obligations*

Discharging responsibility to granting agencies must not reduce teaching effectiveness on the part of the teacher-investigator. The faculty member receiving support from without the university for his research program naturally feels responsible to the granting agency to accomplish the research expected, but teaching obligations must not be neglected in order that this responsibility be discharged.

*4. Faculty Morale*

Care should be exercised that support from outside agencies in some areas within the college or university does not affect adversely morale in other areas through development of jealousies. If teaching loads are reduced so that obligations to outside agencies may be satisfied, resentment on the part of persons in other areas, or even in the same area, can be a significant basis for low morale. The administrative officers of the institution should provide research support and time for those who are not in a position to seek grants.

*5. Expenditure of Research Funds*

An institution has the prerogative of developing its own policy of purchasing procedures and, in general, purchases with contract funds should conform to the established procedural policy. Most granting agencies state clearly that purchasing procedures using grant funds must conform to the institution's policies; however, it is not essential that policies governing expenditures of research funds be the same as those governing expenditures of general funds.

*6. Freedom of Investigation*

The elements inherent in undertaking "classified" research should not tend to destroy the principles of freedom of investigation and of reporting results. This freedom has always been a sacred prerogative of faculties of educational institutions of higher learning, whether privately or publicly supported.